



# Department of Defense INSTRUCTION

## AD-A272 071



October 6, 1987  
NUMBER 5230.27

USD(A)

SUBJECT: Presentation of DoD-Related Scientific and Technical Papers at Meetings

- References:
- (a) DoD Directive 3200.12, "DoD Scientific and Technical Information Program," February 15, 1983
  - (b) DoD Directive 5200.12, "Policy on the Conduct of Meetings Involving Access to Classified Information," September 24, 1984
  - (c) DoD Directive 5230.25, "Withholding of Unclassified Technical Data from Public Disclosure," November 6, 1984
  - (d) through (h), see enclosure 1

### A. PURPOSE

This Instruction amplifies policy set forth in reference (a), assigns responsibilities, prescribes procedures, and provides guidance for consideration of national security concerns in the dissemination of scientific and technical information in the possession or under the control of the Department of Defense at conferences and meetings. It supports current policies regarding classified meetings and requirements for review of scientific and technical papers; provides guidance for reviewing and presenting papers containing export-controlled DoD technical data; establishes procedures for obtaining DoD advice on independently-produced scientific and technical papers; and provides criteria for identifying fundamental research activities performed under contract or grant that are excluded from review requirements.

### B. APPLICABILITY AND SCOPE

This Instruction applies to the Office of the Secretary of Defense (OSD) DoD Field Activities, the Military Departments, the Organization of the Joint Chiefs of Staff (OJCS), the Defense Agencies, and the Unified and Specified Commands (hereafter referred to collectively as "DoD Components").

### C. DEFINITIONS

1. Contracted Fundamental Research. Includes grants and contracts that are (a) funded by budget Category 6.1 ("Research"), whether performed by universities or industry or (b) funded by budget Category 6.2 ("Exploratory Development") and performed on-campus at a university. The research shall not be considered fundamental in those rare and exceptional circumstances where the 6.2-funded effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

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distribution is unlimited.

2. DoD Personnel. All civilian officers and employees, including special Government employees, of all DoD Components, and all active duty officers (commissioned and warrant) and enlisted members of the Army, Navy, Air Force, and Marine Corps.

D. POLICY.

It is DoD policy to:

1. Encourage the presentation of scientific and technical information generated by or for the Department of Defense at technical meetings consistent with United States laws and the requirements of national security.

2. Permit DoD Components to conduct scientific and technical conferences, and to permit DoD Component personnel to attend and participate in scientific and technical conferences that are of demonstrable value to the Department of Defense, and consult with professional societies and associations in organizing meetings of the societies and associations that are mutually beneficial.

3. Allow the publication and public presentation of unclassified contracted fundamental research results. The mechanism for control of information generated by DoD-funded contracted fundamental research in science, technology, and engineering performed under contract or grant at colleges, universities, and non-government laboratories is security classification. No other type of control is authorized unless required by law.

4. Release information at meetings in a manner consistent with statutory and regulatory requirements for protecting the information. Such requirements include, but are not limited to, protection of classified, unclassified export-controlled, proprietary, privacy, and foreign government provided information.

5. Provide timely review of DoD employee and contractor papers intended for presentation at scientific and technical conferences and meetings, and if warranted and authorized by contract in the case of contractor employees, prescribe limitations on these presentations. Dissemination restrictions shall be used only when appropriate authority exists.

6. Assist DoD contractors and, when practical, others in determining the sensitivity of or the applicability of export controls to technical data proposed for public disclosure.

7. Approve release of classified or controlled unclassified DoD information to foreign representatives when such release promotes mutual security or advances the interests of an international military agreement or understanding in accordance with foreign disclosure policies of the Department of Defense. Presentation of such information at technical meetings attended by foreign representatives is appropriate when the release is made under the terms of existing security arrangements and when the Department of Defense and receiving government have established an understanding or agreement in that specific scientific or technical area.

8. Refrain from interfering with the planning and organizing of meetings sponsored and conducted by non-government organizations. The type and level of DoD participation in such meetings will be determined taking account of such factors as benefit to the Department of Defense and how the meetings are being conducted.

E. PROCEDURES

1. General. Conferences organized by DoD Components, DoD contractors, scientific and engineering societies, and/or professional associations, among others, can enhance the value of research and development sponsored by the Federal Government, and in such cases require full cooperation of all involved parties to obtain maximum benefits. Every effort should be made to develop presentations that are appropriate for delivery to the widest appropriate audience consistent with the interests of national security. In general, national security concerns related to the disclosure of DoD scientific and technical information at meetings are influenced by two mutually dependent factors; i.e. the sensitivity of the material to be presented, and the identity of proposed recipients of the material. These considerations and their impact on proposed meetings can be evaluated only through consultation among authors, conference organizers, and officials responsible for authorizing release of DoD information. The purpose of this consultation is to ascertain which combination of factors will support the most productive exchange of information consistent with U.S. laws and the requirements of national security. Interaction among concerned parties should commence at least six months before the meeting date.

2. Information to be Presented. Possibilities range from completely unclassified/unlimited through classified information. Other considerations having an impact on meeting organization include, but are not limited to, proprietary data, export-controlled data, Privacy Act information, and foreign government-provided data.

a. Classified information may be presented only at meetings organized in accordance with DoD Directive 5200.12 (reference (b)).

b. Unclassified export-controlled DoD technical data may be presented only in session: where recipients are eligible to receive such data as established by DoD Directive 5230.25 (reference (c)).

c. Presentation of proprietary information, privacy data, and foreign government-provided data requires approval of the party controlling that information.

3. Location of Meetings and Access Controls. To a large degree location of and access to meetings are dependent on the type of material to be presented.

a. Papers which have been cleared for public release may be presented at any location and before any audience.

b. Criteria established by DoD Directive 5230.25 (reference (c)) for releasing unclassified documents containing unclassified export-controlled DoD technical data also are applicable to presentations containing such data. Unclassified export-controlled DoD technical data may be released to:

(1) United States and Canadian government officials, with the understanding that the information is to be used for official government purposes only. Technical data that falls outside the exemptions for export to Canada in United States export regulations may not be transferred under this and the following provision.

(2) United States and Canadian citizens and resident aliens when disclosure is subject to the terms of a current (DD Form 2345) "Militarily Critical Technical Data Agreement."

(3) Foreign nationals and United States citizens acting as representatives of foreign interests where disclosure is made in accordance with a license, approval, or exemption under the International Traffic in Arms Regulations (reference (f)) or the Export Administration Regulations (reference (g)).

c. Non-government organizations who organize meetings in the United State at which unclassified export-controlled DoD technical data is to be presented will be required to ensure that physical access to the presentations is limited to those eligible to receive such data (as described in subparagraph E.3.b. above) before being permitted to present such data.

d. Meetings sponsored by a United States Government agency at which unclassified export-controlled DoD technical data is to be presented may be held in any location in the United States when control of physical access to the sessions is provided by a United States Government employee or a contractor specifically tasked by Department of Defense for that duty.

e. Presentation of unclassified export-controlled DoD technical data in meetings held outside the United States may be permitted on a case-by-case basis after review of the situation by officials authorized to do so by the Director of Defense Research and Engineering, Office of the Under Secretary of Defense (Acquisition) or heads of DoD Components.

f. When it is necessary to limit access to presentations of DoD-related scientific and technical papers, and private or professional organizations are unwilling or unable to provide required controls, DoD Components may, at their discretion, conduct meetings which correlate in place and topic with open meetings of such societies to take advantage of the fact that interested parties are already gathered.

g. Classified information may be presented only at meetings held in a secure government or cleared contractor facility, unless a waiver has been granted in accordance with DoD Directive 5200.12 (reference (b)). Personnel access controls for classified meetings also are specified in reference (b).

#### 4. Foreign Representative Access to Meetings

a. For classified meetings sponsored by the Department of Defense and conducted at a contractor facility, guidelines for foreign participation are established in DoD Directive 5230.11 (reference (d)), and DoD Instruction 5230.20 (reference (e)). Guidelines for the reporting of foreign participation in classified meetings are contained in DoD Directive 5200.12 (reference (b)).

b. For unclassified meetings sponsored and conducted by organizations other than the Department of Defense, the sole responsibility of determining whether foreign access is appropriate rests with the sponsor. The level and type of DoD participation in the meeting shall take into account the presence of foreign representatives, if any.

c. In order to advance the interests of an international military agreement or understanding, the Department of Defense may wish to release to certain foreign nationals unclassified export-controlled DoD technical data being presented at unclassified, restricted access meetings sponsored and conducted by non-government societies and associations. Release in such cases by Department of Defense shall be pursuant to appropriate exemptions to the International Traffic in Arms Regulations (22 CFR 126) (reference (f)), which relieves the society or association from responsibility to obtain export approvals for these presentations. DoD sponsorship is for the sole purpose of granting access to DoD-sponsored technical information. When societies or associations agree to DoD sponsorship of foreign attendance under these circumstances, the visit request procedures established in DoD Instruction 5230.20 (reference (e)) shall be used to obtain and process requests from foreign representatives for sponsorship, and to inform the requestor and the meeting sponsor of the decision to release the information and conditions pertaining to such release.

5. Clearance for Public Release. A review is required by DoD Directive 5230.9 (reference (h)) for all public releases by DoD personnel, including all presentations from DoD laboratories. DoD contractors are required to submit proposed presentations for review if that is a specific contractual requirement. Papers resulting from unclassified contracted fundamental research are exempt from prepublication controls and this review requirement.

a. Proposed presentations shall be reviewed to:

(1) Determine what information, if any, in the submitted paper and/or abstract is subject to security classification, is subject to withholding from public disclosure under DoD Directive 5230.25 (reference (c)), or is otherwise restricted by statute, regulation or DoD policy.

(2) Recommend specific changes, if any, to allow the paper to be presented as requested.

(3) Indicate on the document its releasability in original and amended versions.

(4) Provide information on appeal procedures to be followed if requested clearance is denied.

b. Reviews shall be completed as speedily as possible after receipt of the document by an appropriate public clearance authority. If a review cannot be completed in a timely manner, an explanation shall be provided. Every effort shall be made to complete the review in:

(1) Ten working days for all abstracts.

(2) Twenty working days for papers submitted for presentation at sessions that will have unlimited access.

(3) Thirty working days for papers submitted for presentation at unclassified sessions that will have limited access.

(4) Thirty working days for papers submitted for presentation at sessions that will be classified.

6. Voluntary Submissions. Authors or organizations not subject to mandatory reviews may submit their papers to DoD activities to obtain advice on national security concerns. Resources permitting, DoD public release activities shall arrange review of the papers and (a) inform the author that the Department of Defense has no objection to public presentation or (b) inform the author that the Department of Defense advises that presentation in a public forum would not be in the interest of national security, and provide appropriate reasons for the determination. The clearance for public presentation, (a) above, satisfies an exemption from requirements for government review under the International Traffic in Arms Regulations. The latter determination, (b) above, does not legally bar presentation. It is an advisory statement that, for the presentation concerned, Department of Defense is not providing the authority for public release. Such DoD action does not preclude recourse by the author through normal State Department export license procedures.

7. Submission Procedures.

a. Authors shall submit full text and/or abstract of paper for review before submitting it to conference organizers. Clearance of abstract does not satisfy any requirement for clearance of the full paper. Requests for review shall identify the conference sponsor(s), site, and access restrictions specified by the session organizers, and shall state whether the paper is for presentation at a session that is to be unclassified with unlimited access, unclassified with limited access, or classified. Level of classification and access restrictions shall be specified, where appropriate.

b. Papers shall be submitted for public and/or foreign disclosure clearance in sufficient time to allow adequate review and possible revision. Authors should allow adequate time for their presentation to reach the appropriate review authority in addition to the review targets set in paragraph E.5.b., above.

c. At time of submission of the full text of the presentation to the Conference Program Committee, authors should state that their papers have been approved for presentation at the meeting and specify the security level of degree of access control required. When submitting abstracts that have been cleared for release, authors should indicate when and what kind of approval is expected on the presentation in its final form.

8. In accordance with DoD Directive 3200.12 (reference (a)), copies of proceedings and/or reprints of papers sponsored by the Department of Defense for all scientific and technical meetings will be provided to the Defense Technical Information Center, Defense Logistics Agency, Cameron Station, Alexandria, VA 22304 for secondary distribution.

F. RESPONSIBILITIES

1. The Under Secretary of Defense for Acquisition (USD(A)) shall be responsible for implementing this Instruction.

2. The Deputy Under Secretary of Defense for Research and Advanced Technology shall:

a. Administer and monitor compliance with this Instruction.

b. Provide, when necessary, technical assistance to DoD Components in determining sufficiency of protection of unclassified technical information that is to be presented at meetings.

c. Provide, upon request, information and advice regarding controls on unclassified DoD information to scientific and engineering societies and professional associations.

3. The Under Secretary of Defense for Policy (USD(P)) shall develop and promulgate, as required, policy guidance to DoD Components for implementing this instruction.

4. The Deputy Under Secretary for Defense (Policy) (DUSD(P)) shall establish and monitor compliance with policies and procedures for disclosure of classified information at meetings.

5. The Heads of DoD Components shall:

a. Promulgate this Instruction within 180 days.

b. Designate an individual who will be responsible for reviewing and approving requests for export-controlled meetings outside the United States, and for ensuring compliance with this Instruction.

G. EFFECTIVE DATE AND IMPLEMENTATION

This Instruction is effective immediately. DoD Components may issue implementing documents to ensure compliance within their organizations. Forward two copies of any implementing documents to the Director of Defense Research and Engineering within 180 days.

*Ronald L. Kerber*

Ronald L. Kerber  
Deputy Under Secretary of Defense  
(Research and Advanced Technology)

Enclosure--1  
References

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REFERENCES, continued

- (d) DoD Directive 5230.11 "Disclosure of Classified Military Information to Foreign Governments and International Organizations," December 31, 1984
- (e) DoD Instruction 5230.20, "Control of Foreign Representatives," June 25, 1984
- (f) International Traffic in Arms Regulations, 22 CFR 121-128
- (g) Export Administration Regulations
- (h) DoD Directive 5230.9, "Clearance of DoD Information for Public Release," April 2, 1982